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ABSTRACT

The Southern Regional Education Board (SREB) survey of faculty procedures determines the nature and extent of faculty evaluation programs in the South. The president of each college was sent a copy of a questionnaire designed to provide data on existing policies, practices, and criteria for faculty evaluation. One of the most noticeable aspects of the survey findings is that the various reasons for faculty evaluation are: (1) a concern for faculty development and improvement; and (2) the need for evaluation of faculty performance to provide information for decisions on tenure, promotion, reappointment, and salary. This polarization of emphasis is associated with institutional types--the more senior the institution, the more frequent the emphasis on performance evaluation; the less senior the institution, the more frequent the emphasis on faculty development. (Author/KE)

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Faculty Evaluation Procedures in Southern Colleges and Universities

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Foreword

In 1972 a Commission on Academic Tenure in Higher Education, sponsored by the Association of American Colleges and the American Association of University Professors, issued a comprehensive set of recommendations. In essence they were a blueprint for improvement of the tenure system, including recommendations for development of systematic programs of faculty evaluation.

One observation of that commission is central to the genesis of the faculty evaluation survey which was conducted by the Southern Regional Education Board in the winter of 1975: "Faculty personnel policy cannot be effective unless it is communicated. In their campus visits, members of the commission were surprised by the frequency with which faculty members who were interviewed—not only younger members of the faculty, whose futures are at stake, but often also senior members, who bear a major responsibility for applying institutional policy—were ignorant of the precise provisions for institutional policy, or disagree about them because they had to rely largely upon hearsay or rumor."

Institutions need to develop well-articulated informational channels upon which personnel decisions are based, faculty need justification of confidence in the soundness of personnel policy implementation, and the public deserves to know that personnel policies are indeed designed to maximize institutional effectiveness. The following pages sketch, for the region, indications of progress toward these objectives. It is hoped that information provided by this survey can assist institutions in continuing the improvement of personnel policy and faculty development procedures on each campus.

WINFRED L. GODWIN
President

Introduction

A regional survey of faculty evaluation practices was conducted by the Southern Regional Education Board (SREB) in 1975 in response to inquiries and suggestions by Board constituencies and leadership. Specific influences which motivated this interest were at least four in number, some applying generally, others affecting particular sectors of the higher educational structure:

1. Pressure for adoption of collective bargaining, increasingly widespread in the nation, has made administrators more conscious of a need to regularize existing personnel practices.
2. Public policy has impinged more closely on institutional staffing practices through regulatory programs such as *Affirmative Action* and, sometimes, through intervention of the courts.
3. Adaptation to the changing patterns of college-going has begun to stabilize college and university staffs, resulting in much reduced mobility, increasing proportions of tenured faculty and a growing interest in institutional faculty development programs.
4. "Legislative oversight" of the publicly-supported institutions is frequently characterized by critical concern regarding the efficiency of staff utilization by the colleges and universities.

The *ad hoc* advisory committee* which was appointed to counsel with SREB staff in planning this regional survey favored an initial assumption that all institutions do evaluate faculty in some manner. This assumption is reflected in the structure of the survey instrument. Significantly, all of the 536 responding institutions provided information indicating the existence of faculty evaluation practices on the respective campuses.

One of the most noticeable aspects of the survey findings is that the various reasons for faculty evaluation reduce essentially to (1) a concern for faculty development and improvement and (2) the need for evaluation of faculty performance to provide information for decisions on tenure, promotion, reappointment and salary. This polarization of emphasis is associated with institutional types—the more senior the institution, the more frequent the emphasis on per-

*Dr. Frederick L. Bates, Professor of Sociology, University of Georgia; Dr. William R. O'Connell, Director, Undergraduate Education Reform Project, Southern Regional Education Board; Mrs. Mary Seals, Associate Director, Personnel and Faculty Relations, Florida Board of Regents; Dr. Loren Williams, Director, Educational Planning and Development, Medical College of Virginia. The helpful suggestions of the committee are gratefully acknowledged. The authors bear full responsibility for opinions expressed in this report.

formance evaluation; the less senior the institution, the more frequent the emphasis on faculty development. It is noted, however, that separate institutional offices of faculty development exist only on large university campuses.

From an institutional point of view, the emphasis on evaluation for development and the emphasis on performance evaluation are opposite sides of the same coin, and may draw upon the same kind of information. From the perspective of the individual faculty member, however, they contrast sharply — faculty development generally connotes enlargement of personal opportunity, while performance evaluation may pose a threat. Significantly, those faculty development programs which are formalized as separate institutional offices, of which some 15 now exist in the Southern region, are not involved in providing data for decisions on advancement at their respective institutions, except in one case, namely the Office of Instructional Resources at the University of Florida in Gainesville. It will be useful to witness the progress of offices like the one at Gainesville in their effort to demonstrate whether both of the evaluative functions may indeed be served by the same agency.

Association of the faculty development emphasis with improvement of instruction is demonstrated by high reliance on student evaluations of teaching at institutions which emphasize faculty development. This, in turn, highlights the question of why larger numbers of the lower level institutions responding to the survey tend to assign major importance to faculty development than do their senior counterparts. Since the study dealt in rankings, this may reduce to a matter of *relative* importance assigned to functions both of which may be considered essential. Senior institutions, like their more junior counterparts, do express an overwhelming affirmation that teaching effectiveness constitutes the prime criterion in faculty evaluation. However, in the enumeration of sources for evaluation, the universities in particular are observed to rely substantially upon volume of publications, evaluation by peers in other institutions and similar criteria which are *not* directly related to teaching effectiveness.

The study of faculty evaluation in the Southern region provides a great deal of information on the prevalence of visible evaluation practices, although reported primarily through administrative eyes. Faculty and students, as well as others who might provide insights into the subject, were not queried. But we do have a picture of a wide range of approaches to evaluation, some of which include substantial contributions from these two institutional components — through self-evaluation by those being evaluated (the faculty) and

evaluations of teaching effectiveness by those for whom the whole enterprise of higher education exists in the first place (the students).

It was not the purpose of the study to show just how evaluation is to be conducted on the individual campus.* The study does indicate directions for further exploration. The examples reproduced on pages 19-43, in particular, illustrate how faculty evaluation can be systematically approached, sometimes with inputs from a great variety of sources. Those familiar with organizational structure will recognize that sometimes administrative procedures may serve secondary functions. Where self-evaluation by staff, for example, is made part of the evaluation process, the communication of objectives and expectations can assist greatly in creating an atmosphere of mutual understanding between the various levels of staff. Where student evaluation of teaching is systematically conducted, there exists the potential realization that each individual in the learning system has a voice in helping improve the operation of the system.

Does the yardstick measure what it is supposed to measure? This may be a moot question. The examples show that faculty evaluation can be an undertaking resulting in an impressive documentation of each personnel file. How much documentation is necessary as a basis for decisions and how much may be superfluous or perhaps even be applied in justification of decisions based on ulterior reasons? Are faculty assured of being evaluated on the basis of their actual assigned responsibilities?

The most important question may be one which hardly ever can be answered by a general study. Is every individual in the institutional structure assured a uniform application of the established performance evaluation procedure? Traditionally, management based upon personal hunches is considered arbitrary and capricious, while regularized systems are thought to provide objectivity and greater assurance of equity in decision-making. These objectives can be realized to some extent through built-in provisions for review and other checks. However, the ultimate assurance of fairness presupposes sound and dedicated leadership at every level of institutional administration.

Faculty evaluation in most institutions serves both the performance function and the faculty development function but the relative emphasis varies greatly. In some administrations evaluation is regarded primarily as a vehicle for further development and im-

*One general introduction, with annotated bibliography, is provided by Richard I. Miller, *Developing Programs for Faculty Evaluation*, San Francisco: Jossey-Bass Publishers, 1974.

provement of existing staff, in others it is primarily an instrument for decision-making on questions of promotion, reappointment, tenure and salary and therefore tends to serve a gate-keeping function. Whatever the direction of current institutional emphasis, administrators will increasingly need to respond to the growing demands placed upon them by influences such as the stabilization of staff, the pressures of public policy imperatives, the realities of the movement for faculty unionization and the quest for greater institutional accountability.

Survey Findings

The general purpose of the SREB survey of faculty evaluation procedures was to determine the nature and extent of faculty evaluation programs in the South.* The survey was undertaken with the hope that its results would assist colleges and universities desiring to develop new evaluation programs or modify existing programs on their campuses.

All colleges and universities (843 institutions) in the 14-state SREB area were given an opportunity to participate in the survey. Each president was sent a copy of a questionnaire designed to provide data on existing policies, practices and criteria for faculty evaluation (Appendix). Usable responses were received from 536 institutions — 219 private and 317 public institutions. This represents a response ranging from 80.5% of the doctoral level institutions to 58.5% of the two-year institutions. (Table I)

Most of the questionnaires were completed by academic vice presidents, academic deans, or their equivalents; presidents and provosts also completed a considerable number of the forms. In practically every case the respondent was in a favorable position to answer for the institution as a whole.

The questionnaire used in the *Survey of Faculty Evaluation Procedures* was designed to obtain the following information:

- (a) Principal reasons for faculty evaluation.
- (b) Sources of information for evaluation.
- (c) Individuals and groups responsible for evaluation.
- (d) Availability of information to the person evaluated.
- (e) Relative importance of various factors (such as teaching, advising, research, publications and public service) in faculty evaluation.
- (f) Descriptive material on methods and systems of evaluation.
- (g) Importance of public service as a factor in faculty evaluation.
- (h) Views of respondents on the major consequences of their evaluation programs.

*The authors wish to acknowledge the assistance of Mrs. Sue Brown in the tabulation and analysis of the results.

Table I

**Number of Institutions Responding to Questionnaire,
by Level and Enrollment**

Institutional Level	Enrollment of Institutions				Percent Response
	Below 1,000	1,000 to 5,000	Above 5,000	Total	
Doctoral	6	16	48	70	80.5%
Master's	19	63	25	107	65.2
Bachelor's	86	62	2	150	61.7
Two-Year	63	117	29	209	58.5
Total	174	258	104	536	63.6

Reasons for Faculty Evaluation

The respondents were asked to rank five reasons for faculty evaluation in the order of their importance, with the option of assigning the same rank to items considered equally important. (*Table II*)

On the basis of the data obtained from all responding institutions, it appears that faculty development and improvement is considered the most important reason for faculty evaluation. Information to the faculty member on his teaching effectiveness—undoubtedly an important factor in faculty development—places second, and information needed for decision-making on matters of advancement is in third position. The other two listed reasons—assurance of equity in employment practices, and provision of reasearch data on teaching and learning—are considered far less important in faculty evaluation, at this time.

The ranks accorded reasons for faculty evaluation varied greatly with level of institution, as *Table III* shows. Faculty development, ranking highest for the total, lags behind information for advancement decisions at both doctoral and master's level institutions. The more senior the type of institution, the less pronounced is the perceived need for faculty development and improvement. Whether this reflects objective differences in the developmental needs of existing institutional staff may be debatable. Information for decisions on advancement is ranked in exactly the opposite order of importance, being assigned first rank by 62% of doctoral institutions and by 18% of 2-year institutions.

Table II

**Percentage Distribution of Ranks Assigned to Each Reason
for Faculty Evaluation**

Reasons for Evaluation	Percentage Distribution of Ranks						Total
	1st	2nd	3rd	4th	5th	None	
Faculty Development	54%	30%	11%	2%	0%	3%	100%
Information on own Teaching Effectiveness	46	33	13	4	1	3	100
Information for Decisions on Advancement	36	24	27	6	2	5	100
Equity of Employment Practices	3	13	17	23	20	24	100
Research Data	1	8	24	27	19	22	100

Table III

**Percentage of Institutions Assigning First Rank to Respective
Reasons for Evaluation by Institutional Level**

Reasons for Evaluation	Percentage of Institutions Assigning First Rank			
	Doctoral	Master's	Bachelor's	Two-Year
Information for Decisions on Advancement	62%	50%	41%	18%
Faculty Development	38	40	56	66
Information on own Teaching Effectiveness	35	52	37	53
Equity of Employment Practices	6	1	5	1
Research Data	0	0	1	2

Note: Columns may total to more than 100% because respondents were allowed to assign a given rank to more than one reason.

Sources of Information and Groups Responsible for Faculty Evaluation

Many individuals and groups can provide information of value in faculty evaluation. The number used and the responsibility of each vary from institution to institution, depending upon organization and purpose. The Southern Regional Education Board survey collected data on the use of ten possible sources of information for three specific purposes (decisions on salary increases; decisions on reappointment, promotion and tenure; and faculty development), as well as for overall use. (*Table IV*)

For the whole group of 536 responding institutions, it appears that the department chairman, the academic dean or vice president and students have major responsibility for overall evaluation as well as evaluation for the purpose of faculty development. Student evaluations are used less in decisions for advancement. Self-evaluation is shown as an unexpectedly important source of information for faculty development and for overall evaluation. Presidents, faculty committees and colleagues are involved by almost half of the institutions, but there is little indicated use of alumni, joint student-faculty committees, and peers from other institutions. Most of the institutions utilizing a particular source of information indicated that the information is documented periodically.

Tables V, VI, and VII provide detailed information for the various types of institutions. Large differences are revealed, particularly between doctoral and two-year institutions. Major differences include the following:

1. The use of information from alumni is almost twice as great at private as at public institutions. (*Table V*)
2. The use of information from colleagues varies from 65% for doctoral institutions to 32% for two-year institutions. (*Table V*)
3. The use of information from faculty committees varies similarly—from 69% for doctoral institutions down to 17% for two-year institutions (*Table V*), and for advancement decisions from 61% to 12%. (*Table VI*)
4. The overall use of information from peers in other institutions, for advancement decisions, varies from 35% at doctoral institutions to 4% at two-year institutions. (*Table V*) The only significant use of peer information is by doctoral institutions for decisions on reappointment, promotion and tenure. (*Table VI*)

5. The use of colleague information for advancement decisions varies from 54% at doctoral to 13% at two-year institutions. (Table VI)
6. The use of self-evaluation information for development purposes varies from 39% for doctoral institutions to 61% for two-year institutions. (Table VII)

Question #6 sought direct information on those principally responsible in faculty evaluation for purposes of (a) salary increase, promotion, and tenure and (b) faculty development and improvement. When two or three offices and/or groups were listed as principally responsible, the results were weighted accordingly.

Table IV
Sources and Selected Uses of Information for Faculty Evaluation,
All Reporting Institutions

Source of Information	Percentage of Respondents Reporting Utilization			
	Overall Use	For Decisions on Salary Increases	For Decisions on Promotion and Tenure	For Faculty Improvement
Academic Dean or V. P.	90%	70%	31%	81%
Alumni	18	1	4	14
Colleagues	45	19	29	35
Department Chairman	90	70	82	83
Faculty Committee	39	14	33	23
Joint Committee (Faculty/Student)	10	2	4	7
Peers (other institutions)	9	1	6	4
President or Provost	47	40	44	36
Self-Evaluation	56	25	33	51
Students	88	30	45	79

Table V

Sources of Information for Overall Use by Type and Enrollment,
Percentage Utilizing

Source of Information	Type of Institution					Enrollment		
	Public	Private	Doctoral	Master's	Bachelor's	Two-Year	Below 1,000	Above 5,000
Academic Dean or V.P.	88%	94%	84%	83%	96%	93%	92%	84%
Alumni	13	24	20	18	22	14	23	13
Colleagues	45	43	65	50	48	32	38	61
Department Chairman	94	84	93	92	92	87	78	100
Faculty Committee	37	43	69	58	41	17	38	53
Joint Committee (faculty/student)	11	9	18	7	10	9	8	15
Peers (other institutions)	9	9	35	7	5	4	5	23
President or Provost	43	53	39	48	57	42	51	43
Self-Evaluation	63	46	46	53	52	64	52	65
Students	88	88	84	87	87	91	88	82

Table VI

Use of Sources for Decisions on Reappointment,
Promotion and Tenure by Various Degree-Type Institutions

Source of Information	Percentage Use by Level			
	Doctoral	Master's	Bachelor's	Two-Year
Academic Dean or V.P.	81%	79%	90%	75%
Alumni	0	7	8	2
Colleagues	54	40	32	13
Department Chairman	86	86	88	73
Faculty Committee	61	50	35	12
Joint Committee (faculty/student)	11	2	3	4
Peers (other institutions)	32	4	1	2
President or Provost	38	46	56	36
Self-Evaluation	32	38	32	32
Students	47	51	46	41

Table VII**Use of Sources of Information for Faculty Development by
Institutional Level, Percentage Utilizing**

Source of Information	Percentage Use by Level			
	Doctoral	Master's	Bachelor's	Two-Year
Academic Dean or V.P.	59%	75%	88%	86%
Alumni	15	12	16	12
Colleagues	43	39	35	27
Department Chairman	82	85	84	82
Faculty Committee	41	34	24	10
Joint Committee (faculty/student)	11	7	7	7
Peers (other institutions)	14	2	5	2
President or Provost	27	36	45	32
Self-Evaluation	39	47	45	61
Students	72	75	79	84

It is obvious from *Table VIII* that those mainly responsible for overall evaluation in all types of institutions are the department chairman and the chief academic officer (academic dean, academic vice president, academic vice chancellor, or equivalent). Next in order of responsibility, but far less frequently, are high administrative officers (presidents, chancellors, provosts, etc.) and faculty committees who make decisions on advancement. For faculty development, however, students and the evaluated faculty member himself are next in order of responsibility after the academic dean and department chairman.

Table VIII

Assignment of Principal Evaluation Responsibility for Administrative Decisions and for Faculty Development, Number of Institutions

Source of Principal Responsibility	For Decisions on Salary, Promotion and Tenure	For Faculty Development
Academic Dean or Vice President	190	167
Department Chairman	155	167
President or Provost	54	10
Faculty Committee	36	13
Students	10	67
Colleagues	6	9
Self	2	21
Peers (other institutions)	2	2
Joint Student-Faculty Group	1	1
Alumni	0	4
Other	2	2
No Response	77	72
Total	536	536

Tables IX and X provide data on those principally responsible for faculty evaluation in the four types of institution. For some individuals and groups the frequency of principal responsibility varies considerably from doctoral institutions to 2-year institutions. Major variations in sources of information for decisions on salary, promotion and tenure (*Table IX*) are:

1. Faculty committees, colleagues and peers from other institutions are involved more frequently in doctoral than in other types of institutions although incidence of the latter two is particularly small.
2. Presidents and provosts are involved in these decisions much less frequently in doctoral than in other types of institutions.
3. Only in doctoral institutions does the department chairman

have greater responsibility than the academic dean or vice president.

Major variations in faculty development (*Table X*) are:

1. The department chairman more often has principal responsibility than does the academic dean, in doctoral and master's level institutions.
2. The academic dean has principal responsibility more frequently than the department chairman, in bachelor's level and 2-year institutions.
3. Faculty committees, although not frequently used, are involved somewhat more often in doctoral than in other types of institutions.

Availability of Results of Evaluation to the Faculty Member

Ninety-four percent of all responses indicate that the results of evaluation are available to the evaluated faculty member. (*Table XI*)

Table IX

Assignment of Principal Evaluation Responsibility for Decisions on Salary, Promotion and Tenure by Institutional Type, Percentages

Responsible Person(s)	Percentages Reporting Respective Sources as Principal			
	Doctoral	Master's	Bachelor's	Two-Year
Department Chairman	36.7%	30.6%	24.1%	27.8%
Academic Dean or Vice President	30.4	32.0	39.6	35.7
Faculty Committee	13.3	8.1	9.3	1.7
President or Provost	4.4	7.5	12.2	11.7
Colleagues	3.3	2.2	0.3	0.0
Peers (other institutions)	2.3	0.0	0.0	0.0
Students	1.3	1.9	1.3	2.5
Others*	0.4	1.1	1.2	0.8
No Response	8.0	16.7	12.0	20.1

*Including alumni, joint student-faculty groups, self.

Table X

**Assignment of Principal Evaluation Responsibility for Faculty
Development, by Institutional Type, Percentages**

Source of Principal Responsibility	Percentages Reporting Respective Sources as Principal			
	Doctoral	Master's	Bachelor's	Two-Year
Department Chairman	35.5%	36.3%	26.0%	30.1%
Academic Dean or Vice President	18.7	25.3	32.8	36.9
Students	13.9	9.8	12.9	12.5
Faculty Committee	5.1	3.9	1.8	0.8
Self	4.4	4.7	3.4	3.7
President or Provost	4.0	1.9	2.7	0.6
Colleagues	2.0	2.0	2.6	0.6
Others*	3.1	1.3	1.9	1.4
No Response	13.3	14.8	16.0	13.4

*Including alumni, joint student-faculty groups, peers from other institutions.

Table XI

Availability of Results of Evaluation to Faculty Members

Type of Institution	Number of Responding Institutions	Percentage Reporting Results Available to Faculty
Doctoral	70	80%
Master's	107	95
Bachelor's	150	95
Two-Year	209	98
Total	536	94

Affirmative response to the question, "Are the results of evaluation available to the faculty member?", ranged from 95 percent to 98 percent for the master's, bachelor's and 2-year institutions, but was only 80 percent for doctoral institutions. The lower percentage for doctoral institutions may be related to their greater emphasis on the use of evaluation information for decision-making on advancement rather than for faculty development.

Factors Considered in Faculty Evaluation

Respondents were asked to indicate the relative importance of nine factors that might be considered in faculty evaluation for advancement purposes, i.e., for salary increases, promotion and tenure. The results of the ranking process for all responding institutions are shown in *Table XII*. It is apparent from the high percentage of institutions ranking instructional activity first that this is the most important reported factor in faculty evaluation at almost all of the responding institutions. First rank frequencies, however, give no indication of the relative importance of other factors; for this reason the percentages that ranked each factor in the ranges 1st to 3rd, 4th to 6th and 7th to 9th are shown.

Table XIII lists the rank orders of criteria for different types of institutions in comparison with the results for the entire group of institutions. Instructional activity is reported as the most important consideration in evaluation for advancement in all types of institutions. Student advising ranks second in all types except doctoral institutions. For these, not surprisingly, research ranks second and publications third.

It may be somewhat surprising that public service ranks lowest or next to lowest for all categories of institution considered in the analysis up to this point. However, *Table XIV* shows that the indicated importance of public service increases from junior colleges to undergraduate institutions (all types), to graduate institutions (all types), to doctoral institutions, to public universities, to large public universities (enrollment greater than 15,000). Fifty-eight percent of the responses from large public universities rated public service in the range from first to third.

That part of the survey instrument which requested description of actual evaluation programs in use yielded a considerable body of guidelines, handbooks, bylaws, brochures, annual reports, evaluation forms or scales and other documents. The following section presents descriptions of representative evaluation programs used at eight institutions of the region.

Table XII
Ranking of Criteria for Faculty Evaluation

Criterion	Percentage of Institutions Assigning Respective Ranking				
	1st	2nd	(1st to 3rd)	(4th to 6th)	(7th to 9th)
Activity in Professional Societies	2%	10%	30%	44%	11%
Administrative Activities	8	33	69	25	2
Civic Activities	1	4	19	42	20
Instructional Activities	96	3	99	0	0
Personal Attributes	11	32	67	22	4
Publications	6	14	33	31	16
Public Service	2	6	22	33	24
Research	9	18	41	29	12
Student Advising	9	44	75	17	2

Table XIII
**Rank Order of Criteria Considered in Evaluation for
Advancement, by Type of Institution**

Criterion	Rank Order of Criteria						
	All Institu- tions	Doc- toral	Mas- ter's	Bache- lor's	Two- Year	Below 5,000	Above 5,000
Instructional Activities	1	1	1	1	1	1	1
Student Advising	2	4	2	2	2	2	3
Administrative Activities	3	5	3	4	2	3	3
Personal Attributes	4	6	5	3	4	4	6
Research	5	2	4	5	7	5	2
Publications	6	3	6	6	9	7	5
Activity in Professional Societies	6	7	7	6	5	6	7
Public Service	8	8	8	8	8	9	7
Civic Activities	8	9	9	8	5	8	9

Table XIV**Ranking of Public Service as a Criterion in Faculty Evaluation**

Type Institution	Number Responding	Percentage Reporting Respective Rankings of Public Service as a Criterion					
		1st	2nd	1st-3rd	4th-6th	7th-9th	Not Ranked
Two-Year	209	0%	4%	12%	33%	24%	31%
Two-Year and Bachelor's	359	1	3	17	32	25	27
All Graduate	177	5	12	35	35	19	11
All Doctoral	70	10	13	36	39	12	12
Public Doctoral	50	13	13	43	36	15	6
Large Public Doctoral*	19	21	21	58	37	0	5

*Responding public universities with enrollment greater than 15,000.

The final question addressed the "good" and "bad" consequences of faculty evaluation programs, as perceived by the respondents. Institutions offering opinions on consequences numbered 388, while 63 judged that assessment of their programs would be premature and 85 did not respond to this question. The "good" and "bad" itemizations offered by the 388 institutions numbered 645, with "good" consequences outnumbering the "bad" about four to one.

Major "good" effects which were reported, in order of frequency, are improvement of teaching and/or counseling, improvement of morale, improved faculty-administration relations, avoidance of inequities, involvement of students, improvement of faculty motivation, improvement of relations between faculty and students, facilitation of administration. Major "bad" listings were negative effect on morale, ineffectiveness of the evaluation system, faculty objections and misuse by faculty.

Examples of Faculty Evaluation Procedures in the Southern Region

Many respondents to the faculty evaluation survey provided documentation of the procedures employed on their campuses. In many cases this material is voluminous and provides a comprehensive, detailed picture of the complete process of collection and application of evaluation information according to the ground rules of the institution.

For the purpose of illustration, eight examples have been selected and summarized. They were chosen with the aim of providing a wide range of approaches, and are somewhat representative of institutional type, size and distribution within the Southern region.

The examples of faculty evaluation programs vary in complexity from an institution (No. 1) which depends upon three primary sources of evaluation to one using nine or more sources (No. 8). It should be emphasized that no evaluation of program effectiveness is implied by the order of arrangement. Since readers may be interested in the self-assessments of these programs by the respondents themselves, each example begins with a quotation from the institution's response to the last item on the questionnaire (which requested views on the major consequences of the faculty evaluation program).

1 Faculty Evaluation at a Privately Controlled Liberal Arts College for Men

"Our faculty program has enabled us to point out areas of improvement in the overall performance of the teacher. As a result of the program, teachers have been stimulated to pursue doctoral study more vigorously, to undertake writing and research, and to become more effective in academic counseling and extra curricular activities."

—President of the College

This institution depends chiefly upon department chairmen for evaluation of faculty. Classroom visitation by department chairmen is encouraged. A four-value scale (outstanding, above average, average, unsatisfactory) is used by the department chairman in rating his faculty members on each of the following fifteen qualities:

1. Command of teaching field
2. Subject matter organization and presentation

3. Attitude toward teaching
4. Attitude toward student needs
5. Student advising
6. Punctuality
7. Maintenance of regular office hours
8. Cooperation with colleagues
9. Contributions to department or division and to college
10. Systematic study toward doctorate
11. Completion of successful research or creative work
12. Publication of articles/books
13. Participation in professional organizations
14. Speaking and/or consulting
15. Health

A resulting overall rating on the same four-value scale serves as the principal basis of recommendations to the academic dean and president for promotion, tenure and salary increases.

2 Faculty Evaluation at a State University of Master's Degree Level

"The concern for better teaching has been increased by the evaluation. Faculty morale may not have been improved, at least among a certain segment."

—Vice President for Academic Affairs

In this institution evaluations of faculty members, for promotion and tenure, are based on three areas of merit: teaching effectiveness, scholarly achievement and professional service. The various factors considered in evaluating the faculty member's performance in each area are itemized below.

Teaching Effectiveness

- A. Planning and Preparation—Provides appropriate syllabi, updates lectures, organizes courses to provide for individual student development, makes explicit to students the goals of the course, the grading system, assignments and performance expectations.
- B. Classroom Presentation—Demonstrates command of subject, contrasts various points of view, includes current develop-

ments, presents material clearly with a voice that projects adequately, encourages student participation, is tolerant of different points of view, makes course stimulating and maintains a professional attitude.

- C. Evaluation – Utilizes effective means of evaluation of students, keeps them informed of their progress and provides adequate monitoring of examinations.
- D. Improvement of Teaching – Shares teaching techniques with colleagues, experiments with new methods, uses student and colleague evaluations to improve teaching.
- E. Extra-Class Responsibility – Responds in a friendly manner to student requests for academic assistance, treats students with respect, directs theses and serves on thesis committees.
- F. Other Factors – Teaches courses that students consider valuable and is deemed an effective teacher by students.

Scholarly Achievement – (A distinction should be made on the basis of achievement on the international/national, regional, or local levels.)

- A. Engages in scholarly/professional works; e.g., publications such as books, articles, reviews, or shows, recitals, musical compositions, etc.
- B. Receives recognition for achievement in discipline; e.g., full membership in the graduate faculty, honors, awards, medals, commendations from professional academic organizations and other institutions.
- C. Presents scholarly papers at professional meetings.
- D. Serves as commentator, panelist or discussant at professional meetings.
- E. Maintains a current perspective in field; increases competence through attendance at professional meetings, workshops, etc., and completes additional degrees.
- F. Develops new programs and courses.
- G. Conducts extra-curricular seminars, workshops, demonstrations or comparable creative activities.
- H. Conducts research (funded or non-funded).

Professional Service

A. University

1. Serves on department, school or college, and university committees.
2. Serves as chairperson of committees.
3. Assists with academic advising and/or summer orientation of students.
4. Teaches off campus, overloads and/or multiple course assignments.
5. Sponsors academic organizations.
6. Acquires professional experience (years of teaching and non-teaching experience).

B. Community (local, regional, national, and international)

1. Serves as consultant in area of professional expertise.
2. Holds offices and serves on committees of professional associations.
3. Serves on boards and committees in area(s) of professional expertise.

In faculty evaluation by the department head, a means of quantifying merit has been established. The department head and the faculty member jointly decide on percentages of time assigned and expended in each area of merit.

Minimum percentages required in each area are as follows: Teaching Effectiveness (60%); Scholarly Achievement (10%); Professional Service (10%). The department head ranks the faculty member from 1 to 10 for each area and determines his overall rating. Principal sources of information used in arriving at the ratings are the Faculty Information Sheet prepared by the faculty member, course evaluations by students, and information received in consultation with tenured members of the department.

The formal recommendation for promotion or tenure goes from the department head to the academic dean, who reviews and recommends to the Vice President for Academic Affairs, after consultation with a committee on tenure and promotion. In turn, the Vice President for Academic Affairs recommends to the President, after consultation with the University Committee on Promotions and Tenure. Finally, after considering nominations from the Faculty Council, the President appoints the faculty members.

A copy of the questionnaire for student evaluation of instruction follows:

Student Evaluation of Instruction

This questionnaire gives you an opportunity to express freely and confidentially your views on this course and the way it is taught. When you have completed it, hand it to the student proctor who will seal it in an envelope and give it to the department head. The computer center will process the questionnaire and report the results to the instructor and department head during the Spring Semester.

To answer the questionnaire, place the appropriate number to the left of each statement. Unless otherwise indicated, use the following key to reflect your opinion.

- | | |
|---|--|
| 1—if you <i>strongly agree</i> with the statement | 4—if you <i>disagree</i> with the statement |
| 2—if you <i>agree</i> with the statement | 5—if you <i>strongly disagree</i> with the statement |
| 3—if you <i>neither</i> disagree nor agree | 6—if <i>not applicable</i> |

- _____ The goals and objectives of the course were made clear to you at the beginning of the course.—1
- _____ The goals and objectives are being fulfilled.—2
- _____ This course is of value to you.—3
- _____ Assignments are clearly related to the goals of the course.—4
- _____ Early in the course you were told how you would be graded.—5
- _____ The examinations and/or systems of evaluation are fair.—6
- _____ The instructor is well prepared for each class.—7
- _____ The lectures and/or other types of instruction are well organized.—8
- _____ The instructor communicates effectively with the students.—9
- _____ The instructor seems to have abundant knowledge of the subject.—10
- _____ Assistance from the instructor is available outside of class if needed.—11
- _____ Examinations are adequately monitored or supervised.—12
- _____ The instructor challenges students to think.—13
- _____ The instructor encourages students to participate actively in the learning experience (i.e., by discussion, library work, outside assignments, or other activities).—14
- _____ The instructor seems concerned with the students' progress.—15
- _____ The instructor meets the class according to the published schedule and generally starts and stops on time.—16
- _____ The instructor is an effective teacher.—17

Please feel free to make any suggestions or comments on this sheet for improving the course, the instruction, or the questionnaire.

3 Faculty Evaluation at a Privately Controlled Junior College

"Faculty members are [now] more concerned about establishing a cooperative working relationship with students and maintaining quality in the instructional process."

— Academic Dean

This institution is committed to evaluation of the instructional staff to achieve a merit system for salary increases, promotion, and tenure.

Criteria for faculty evaluation include:

1. Superior teaching
2. Outstanding service to the institution
3. Academic achievement
4. Professional growth and development
5. Length of service to the institution

The evaluation process involves the students, the division chairman, the faculty member himself, and all his colleagues in the division. The division chairman is also evaluated by the members of his faculty. Seven forms are used in the total evaluation process. They provide evaluative information as follows:

Student Evaluation

The form used is brief but allows for a wide variation of student opinions. The instructor is rated outstanding, above average, average, below average, or poor on each of the following criteria:

1. Effectiveness of speech (volume, clarity, etc.)
2. Avoidance of annoying mannerisms
3. Grooming and personal neatness
4. Ability to make class interesting
5. Treatment of questions asked in class
6. Personal interest in students
7. Ability to stimulate classroom discussion
8. Interest and enthusiasm in subject
9. Apparent knowledge of subject
10. Ability to present material on understandable plane
11. Grading (fairness, thoroughness, etc.)

12. Use of stressed material on quizzes
13. Assignments (length, fairness, clarity, etc.)
14. Promptness in handing back graded work
15. Time allotment for preparation of assignments, quizzes
16. Daily organization of lecture material
17. Use of audio-visual aids
18. Quality of written work on blackboard (if not used, disregard)
19. Stimulation of original thought
20. Over-all effectiveness as an instructor

Administrative Evaluation

The Division Chairman rates each instructor from one to five upward relative to teaching ability, institutional service, academic achievement, professional growth and inter-personal relations (with faculty, students and community).

Self-Evaluation

The faculty member rates himself as excellent, good, fair, or poor on 52 items, involving academic knowledge, classroom performance, intellectual point of view, grading system, assignments, control of classroom, student relations, cooperativeness, personal characteristics, professional responsibilities, participation in community and college activities, etc. This is a personal tally sheet and becomes a part of the faculty member's file.

Evaluation by Colleagues

The faculty member is rated on a five point scale by each other member of the division on the following criteria:

1. Interest in the subject taught
2. Cooperation with colleagues on faculty
3. Personal appearance
4. Sense of humor
5. How considerate he is in comments about others
6. Relations with the community (general acceptance in community)
7. How easy he is to get along with
8. Overall teaching ability

9. Professional outlook and attitude
10. Initiative in assuming responsibility
11. How effectively and punctually he performs tasks
12. Acceptance of varying opinions, suggestions and constructive criticism
13. Adaptability to adopted policies and procedures

Colleagues' Rating of Division Chairman

The Division Chairman is also evaluated by his faculty colleagues in the division on his administrative and teaching competencies, including his performance of divisional duties, helpfulness to faculty, tolerance of different opinions, fairness of decisions, professional leadership, teaching ability, etc.

Annual Report of Personal Achievements

Each faculty member submits an annual report which includes information on graduate training, scholarly activities, professional activities, publications, creative work in fine arts, educational travel, administrative services and public services.

Evaluation Summary

The results of student evaluation, administrative evaluation, colleagues' evaluation and personal achievements are summarized and the faculty member's strong and weak points are noted. This summary then serves as a basis of recommendations for salary, promotion and tenure.

4 Faculty Evaluation at a Privately Controlled Coeducational Liberal Arts College

"Has been a positive force for faculty growth and development; some faculty apprehension but [is] felt to be comprehensive in scope and fair; benefits from being tied into overall career planning program for faculty members."

—Provost and Dean of Faculty

There are two categories of evaluation efforts within the Career Development Program at this institution, both of which are integral parts of a total approach to on-going and systematic evaluation: *self-development evaluation* and *performance evaluation*.

Self-development evaluation is a plan individually designed to help the faculty member in his or her efforts to improve competencies, skills, and habits and to maintain strengths in those areas where considerable skill and expertise have already been achieved.

The dynamics of using evaluation for self-development requires that it be flexible in approach and that the individual being evaluated have a prominent role in deciding what feedback or evaluation is needed and what processes will be used. The evaluators should have an obvious "helping relationship" to the person being evaluated — helping the individual to assess strengths and weaknesses by providing supportive observations and constructive criticism. In addition to collecting evaluations by others, the person being evaluated prepares a separate summary self-evaluation.

In the planning process, the individual faculty member makes the final choice concerning areas of self-improvement, but it is helpful for the Area Chairman to suggest areas of concentration for development or renewal.

After the initial plan has been developed by the faculty member and approved by the Area Chairman, it is the responsibility of the faculty member to implement it in a reasonable and orderly manner.

The plans for self-development evaluation are revised each year to reflect experience in using various approaches. The main goal is to carry out evaluation which the person expects to be helpful rather than to evaluate just because the college requires it.

Performance evaluation consists of evaluation and other feedback obtained as input for administrative decisions. Here the primary aim is to obtain adequate evaluation of actual performance and levels of proficiency in all areas of involvement and responsibility. Care is taken in the whole process to obtain independent, relatively unbiased ratings or assessments.

Areas of importance which relate to most faculty are covered in performance evaluation. These areas include:

1. *Teaching effectiveness* (communicates well; is enthusiastic, stimulating; uses sound methodology of teaching; develops and changes courses in an orderly manner; keeps courses up-to-date)
2. *Relationships to students inside and outside classes* (communicates friendly concern; takes time for student problems, etc.)
3. *Advising* (serving in mentor role, one-to-one relationships, informed and helpful relative to student problems)
4. *Interdisciplinary teaching and college-wide courses* (Heritage

of Western Man, Policy Research, Communication/Inquiry, etc.)

5. *Research and scholarship* (background and experience; keeping up with field; original research/scholarship; attending summer workshops, courses, etc.)
6. *Participation in profession* (membership, contribution to professional societies, attendance at meetings, etc.)
7. *Involvement with student activities and campus programs* (leadership for student organizations, etc.)
8. *College community government and leadership* (Governing Council, Honor Council, committee work, administrative responsibilities, program management, etc.)
9. *Participation in recruitment and development efforts*
10. *Participation in civic affairs, church activities, public relations, etc.*

Although the faculty member makes suggestions and has considerable input, the plans and processes for performance evaluation relative to the individual are developed primarily by the Area Chairman.

Performance evaluation is an ongoing process providing for collection of information from department chairman and program chairman at least yearly. Major evaluations conducted for promotion or tenure are less frequent and involve additional evaluation approaches, such as personal interviews with an adequate sample of students and faculty, and the use of a college-wide instrument based on a nationally recognized questionnaire.

Each person's performance is judged on the basis of levels of excellence which are in evidence across the college as a whole. It is considered essential that such excellence be recognized and rewarded. Each person's overall contribution, however, is judged on the basis of his own situation, responsibilities and opportunities.

While the Area Chairman is the person who collects the performance evaluation input, the overall evaluation is made by the academic program group which consists of the Area Chairman and the Provost and Dean of the Faculty, with input from the President as appropriate.

5 Faculty Evaluation System at a Community College

"Faculty morale has improved with objectivity of current system. Morale has dampened due to point nature of system. Teaching and learning, which continue to improve in the college, are positively related to the evaluation systems."

— Dean of Instruction

The principal assumptions on which this institution's Faculty Evaluation System is based are:

1. The primary purpose of an evaluation system is to assist the faculty member in promoting student learning, and to reward each faculty member in proportion to the extent that he promotes such student learning.
2. A systematic approach to learning is an essential element in the accountability of the institution to its constituency.
3. Faculty members learn from both positive and negative feedback from their peers, students and administrators.
4. The evaluation system should be comprehensive enough to afford each faculty member flexibility in meeting institutional objectives congruent with his abilities and interests.
5. The evaluation system itself shall motivate faculty behavior which is consistent with institutional objectives.
6. Elements of the college besides the dean of instruction should contribute directly to faculty evaluation.
7. The evaluation system should be as objective as is possible within an institutional setting.

Ideally, the objective of the college is to evaluate faculty members in terms of the student learning which they have produced. Since the college receives financial support based upon a quantitative measure of student learning (credit hours generated), the faculty member is evaluated quantitatively on his instructional load. Other elements in the faculty member's evaluation include development of a systematic approach to learning, student evaluation of learning, student advisement, college service, community service, professional development, classroom visitation, and supervisor evaluation. The faculty evaluation system pools the faculty member's ratings on each of these elements into a quantitative score which represents his progress in

the development of student learning and the promotion of college-wide activities and goals.

Table 1 displays the elements of the evaluation system, the points which the college expects each faculty member to attain, the number of points that a faculty member could attain, and the agency which is responsible for assigning the points. A brief description of how each element contributes to the final evaluation is given below.

Faculty Load

This is the major element in quantitative evaluation of the faculty member. The calculation of faculty load takes into account preparation time, student contact time, and number of students served. More credit is given for the original preparation than for subsequent preparations to teach second and third sections of the same course. Credit for preparation also depends upon the mode of instruction; e.g. classroom, large lecture, seminar or laboratory. Preparation points are doubled for new courses for which the college is unable to assist the faculty member by providing materials to structure the course. Preparation points awarded per semester for various modes of instruction are given in Table 2.

The faculty member receives one half point for each contact hour regardless of the mode of instruction. He also receives about one half point for each 25 student credit hours. The total load expectation per semester is 12 points for preparation, 8 points for student contact, and 8 points for student credit hours generated, or a total of 28 points per semester for faculty load. It appears that the number of points earned in exceptional cases could reach 40 or more per semester, but the maximum is not specified.

Systematic Learning

Credit for this element is based on the extent to which a faculty member prepares and implements a systematic approach to learning. The development of an instructional system for a three credit course may involve six phases and points earned as follows:

- (a) Two year instructional plan for systematic development (2 pts)
- (b) Specification of behavioral objectives and evaluation techniques (4 pts)
- (c) Analysis of learning tasks (6 pts)
- (d) Submission of a completely designed system (10 pts)

Table 1
Faculty Evaluation System

Element	Points Expected by college	Total Points possible	Evaluation
Faculty Load	56	—*	Dean of Instruction
Systematic Learning	8	—*	Dean of Instruction
Student Evaluation	7	10	Students
Student Advisement, College Service and Community Service	7	21	Appropriate FES Administrator
Professional Development	3	5	Associate Dean of Instructional Development
Classroom Visitation	3	5	Appropriate Cluster Person/Faculty
Supervisor's Evaluation	3	5	Supervisor
	87	Open	

*Bonus points can be earned dependent on individual effort and college need.

Table 2
Preparation Points per Semester for Various Modes of Instruction

Instructional Mode	Contact Hours per Week			
	1	2	3	4
Classroom (Section 1)	1.0	2.0	3.0	4.0
Classroom (Section 2)	0.5	1.0	1.5	2.0
Classroom (Section 3)	0.25	0.5	0.75	1.0
Large Lecture	2.0	4.0	6.0	8.0
Seminar	1.0	2.0	3.0	4.0
Science Laboratory	1.0	1.5	1.75	2.0
Self-Instructional Laboratory	1.0	1.5	1.75	1.85*

*0.10 credit for each hour beyond fourth.

- (e) Implementation and test of a system (10 pts)
- (f) Revision of system and final report (5 pts)

The completion of all phases will probably extend over a period of several years, and points earned per year will vary from year to year.

Student Evaluation

Student evaluation of an instructor's learning program is conducted each semester and results for both semesters are added to determine the yearly average. The instruments utilized are based on current research and receive ample faculty input in design and administration. Point values per year vary from one to ten. The median faculty value is set at seven points (the college expectation).

Student Advisement

Credit is earned through participation in new student orientation, preparation of degree plans for advisees, evaluation ratings by advisees, etc.

College Service

Points are earned through work on institutional committees, service as advisors to student organizations, recruitment of high school students, etc.

Community Service

Points are earned for participation in (1) community development and problem solving organizations, (2) the college's speakers bureau, (3) community services workshops or institutes, (4) sponsorship of cultural programs.

The annual expectation is a total of 7 points in the three areas of student advisement, college service and community service. As much as 7 points per year could be earned in each area, however.

Professional Development

Points for professional development are based on activity in professional societies, graduate study, in-service workshops, etc. Points range from 0 to 7 with an expectation of 3.

Classroom Visitation

Classroom visitation is the responsibility of the cluster chairpersons. Its purpose is to improve teaching effectiveness. Points assigned range from 0 to 5 with an expectation of 3.

Supervisor's Evaluation

The supervisor's evaluation is based on such matters as written communications, routine administrative tasks, cooperation with administrators and colleagues, etc. Points in this area range from 0 to 5 with an expectation of 3.

Faculty Rewards

Salary increases and contract periods are based on total points accumulated. Eight reward levels have been established. At the highest reward level (114 or above) the faculty member receives a cost of living increase plus 10 bonus units of salary, plus 3 additional years of contract. At the fourth reward level (96 to 101) the faculty member receives a cost of living increase plus 4 bonus units plus 2 additional years of contract. At the seventh level (79 to 83) the faculty member is given a one year contract only without a salary increase. At the eighth level the faculty member's contract terminates at the end of the year. In 1974-75 each bonus unit was \$100.

Assistance in Faculty Development

Three "facilitation processes" which provide feedback are recommended as diagnostic, remedial, resources for faculty development. Each is a voluntary process and does not become part of the final evaluation. The three processes are:

- (a) *Peer Feedback*, which involves evaluation by faculty colleagues, utilizing the same criteria established for classroom visitations by administrators. The evaluation is shared with the evaluated member only.
- (b) *Student Feedback*, involving student evaluation early in the course based on the same criteria that will be used later in final evaluation. This initial feedback is given by students to the faculty member for his use solely.
- (c) *Learning Resources Center Feedback*, involving staff feedback on the application of technology to learning programs.

6 Faculty Evaluation at a State University of Bachelor's Degree Level

"Faculty awareness of public need for accountability has been sharpened. Morale has been improved. Many faculty indicate changes in their teaching techniques as a result of student evaluations. The program is really too young to assess in any depth but first indications are encouraging."

—Vice Chancellor for Academic Affairs

The stated primary purpose of the evaluation of faculty effectiveness at this institution is the improvement of service to students and the public in general. Its goals are to assist the educator in the pursuit of professional excellence; to provide a means of assuring the public of the University's consciousness of its accountability; and to insure due process to the University and its professional faculty.

Each faculty member is evaluated at least once annually on the basis of his total performance in fulfilling responsibilities to the University. The primary focus of the program of evaluation is faculty improvement in the functions of teaching, service, research, and other assigned responsibilities. Ultimately, the decisions on tenure, promotions, salary increments and retention or termination are made by the Chancellor on the basis of the recommendations of his administrative staff. This evaluation procedure provides objectives and pertinent information to those who must make these important and difficult decisions.

The principal areas of performance considered in the evaluation process are teaching, research and other creative activities, service to the University and service to the community in the University's behalf. The most important criterion is teaching effectiveness which is evaluated on the basis of the faculty member's demonstrated knowledge of subject, currency in field, ability to communicate and motivate, skill in the use of educational techniques and media, and objectivity and fairness toward his subject and his students. Evidence of research and other creative activities includes publications, presentation of papers at professional meetings, current projects, etc., with emphasis on quality, as well as quantity. Service to the University includes committee work, administrative responsibility, student advising, service in professional organizations, and academic planning. Service to the community includes addresses to school or civic groups on topics in the faculty member's discipline, professional consultation, and service as a representative of the

University. Activities such as participation in churches and civic clubs are not included.

Sources of data for evaluation include:

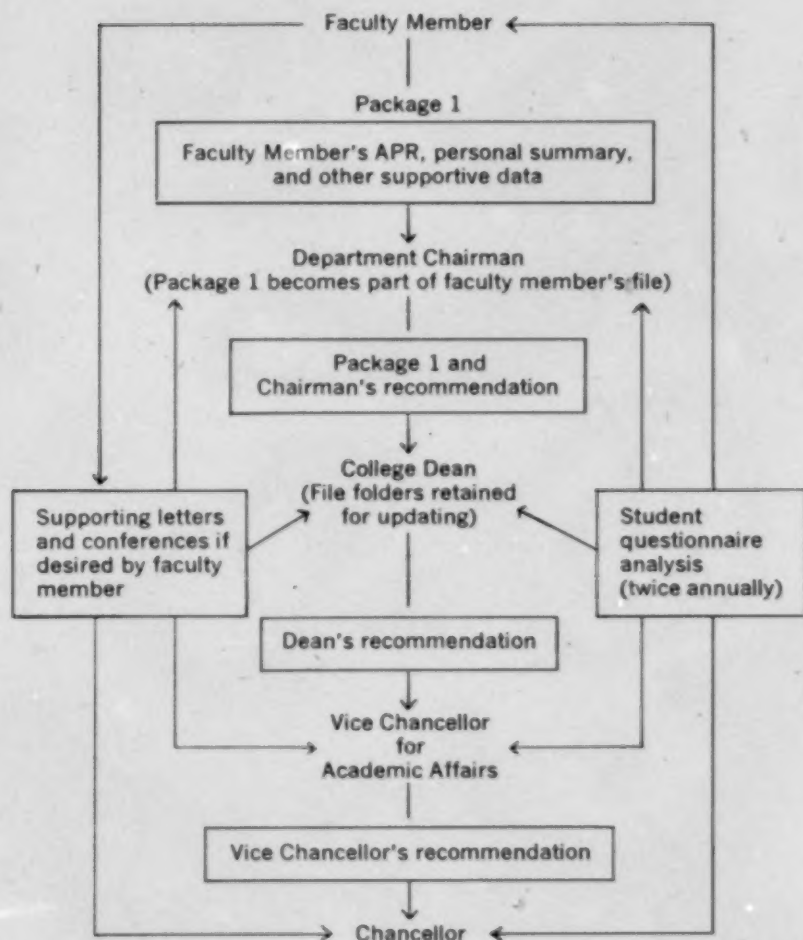
1. *Self Evaluation* – The professor fills out an "Academic Personnel Report" early in each semester. He notes the number of students in each class; the time devoted to preparation and teaching of classes; and the time devoted to committee assignments, public service and professional activities. In addition he includes indications of new courses developed, innovative procedures used in his classes, student organizations sponsored and professional work that he considers noteworthy.
2. *Student Evaluation* – The Illinois Course Evaluation Questionnaire (CEQ) is used near the end of each semester to secure a student evaluation of each course taught. In addition to providing evaluation of the effectiveness of instruction, this instrument provides administrators considerable information about both the *value* and the *content* of the course.
3. *Administrator Evaluation* – The department chairman completes a "Faculty Evaluation Form" which is in two parts: "Department Worksheet – Rank and Tenure" and "Department Worksheet – Salary."

The "Department Worksheet – Rank and Tenure" includes a five-point ranking of the individual (from poor to excellent) in the following categories: teaching effort, teaching effectiveness, student advising, community efforts, community service, research efforts, quality of publications, quantity of publications, cooperativeness, interest in University goals, student evaluation, colleague evaluation, extra-university recognition, and overall value to the University.

The appended flow chart summarizes the various steps in the annual faculty evaluation process, and indicates the nature and extent of involvement of administrators and others.

Those administering the procedure are urged to be mindful at all times that the primary purpose of evaluation is the improvement of instruction. To this end, the program has the secondary functions of providing objective information for the planning and improvement of courses and for the objective evaluation of faculty performance.

Annual Faculty Evaluation Process



Every person directly involved in the faculty member's evaluation has full access to the complete file of the faculty member at any time. This file should be kept up-to-date for its use in making decisions on such matters as promotions, tenure, retention, termination, or merit pay increases.

7 Faculty Evaluation at a State University of Doctoral Level

"Greater concern about and general improvement in performance of faculty members in principal areas of activities. Performance review and appointment-promotion-tenure policies are strongly endorsed by large majority of the faculty."

—Professor and Faculty Assistant to the President

A primary purpose of the performance review at this institution is individual and institutional self-improvement. To help in achieving this purpose, the performance review determines for each faculty member both a quantitative assessment and a qualitative judgment of his activities during the review period in teaching and advising, research and scholarship, university and public service and other appropriate activities, with relative weightings based on a prior agreement pertinent to the distribution of effort among these activities.

To serve this purpose, inputs from students, colleagues, and administrators are used. In the assessment of teaching, student appraisal is included for at least one semester each year. Colleges, working through appropriate university bodies, are obligated to develop some means to evaluate the quality as well as the quantity of academic advising done by each faculty member. The results of these evaluations are considered in the annual performance review.

Reviews are based upon the distribution of effort performed by the faculty member. A written agreement is developed annually, between the unit administrator and the faculty member, on the distribution of effort expected of the faculty member in his major activities during the succeeding year.

Rankings or ratings are utilized. A minimum of three evaluative groupings are provided, whether letter, numerical or descriptive designations. The rankings are designed to recognize both outstanding and marginal performances as well as those appraised as "degrees of good or satisfactory."

Recommendations to promote must originate with the department chairman (or with the dean, director or other appropriate administrator in an educational unit not having a department chairman) and must include the written opinion of each faculty member of the educational unit who was consulted. Promotion files must include a complete vita of the candidate, evaluation of his teaching ability, a list of his research publications, patents, writings or other professional output and representative samples of the same. This complete

file, with a letter of recommendation from the department chairman, is forwarded to the dean for his review and recommendation. The dean, after consultation with the appropriate faculty body of the college, establishes an advisory committee concerned with faculty appointment, termination, promotion and tenure.

Recommendations for promotion and tenure must include evidence of consultation with the appropriate undergraduate student advisory group and graduate or professional student group.

Four areas of activity are important in the evaluation of faculty for appointment and promotion: (1) teaching, including both formal classroom activities and informal influence on students' growth; (2) research and other creative productivity; (3) professional status and activity; and (4) university and public service.

Teaching and Student Relations

Markedly superior teaching and advising are recognized as distinct values and should be used as evidence for appointment and promotion. Recognition is also taken of a faculty member's contribution to student welfare through service on student-faculty committees or as an advisor to student organizations.

Objective evidence of the quality of teaching must be obtained and used in the final report. Such evidence should consist of: (1) reports by colleagues qualified in the field; (2) evaluations by students and, if available, graduates; and (3) when appropriate, the subsequent accomplishments of graduates whose major work has been supervised by the individual under consideration.

Research and Other Creative Productivity

The individual under consideration must show evidence of continuing research or creative activity in his particular field. Normally, publication in whatever form considered appropriate for the field will constitute this evidence. Evaluation of the quality of publications is imperative, and specialists in the field from both inside and outside the University are called upon to testify to the value of the individual's research.

Professional Status and Activity

The demonstration that the abilities of the individual under consideration are recognized outside the University is important in evaluation, but it is understood that such recognition is to be weighed according to rank.

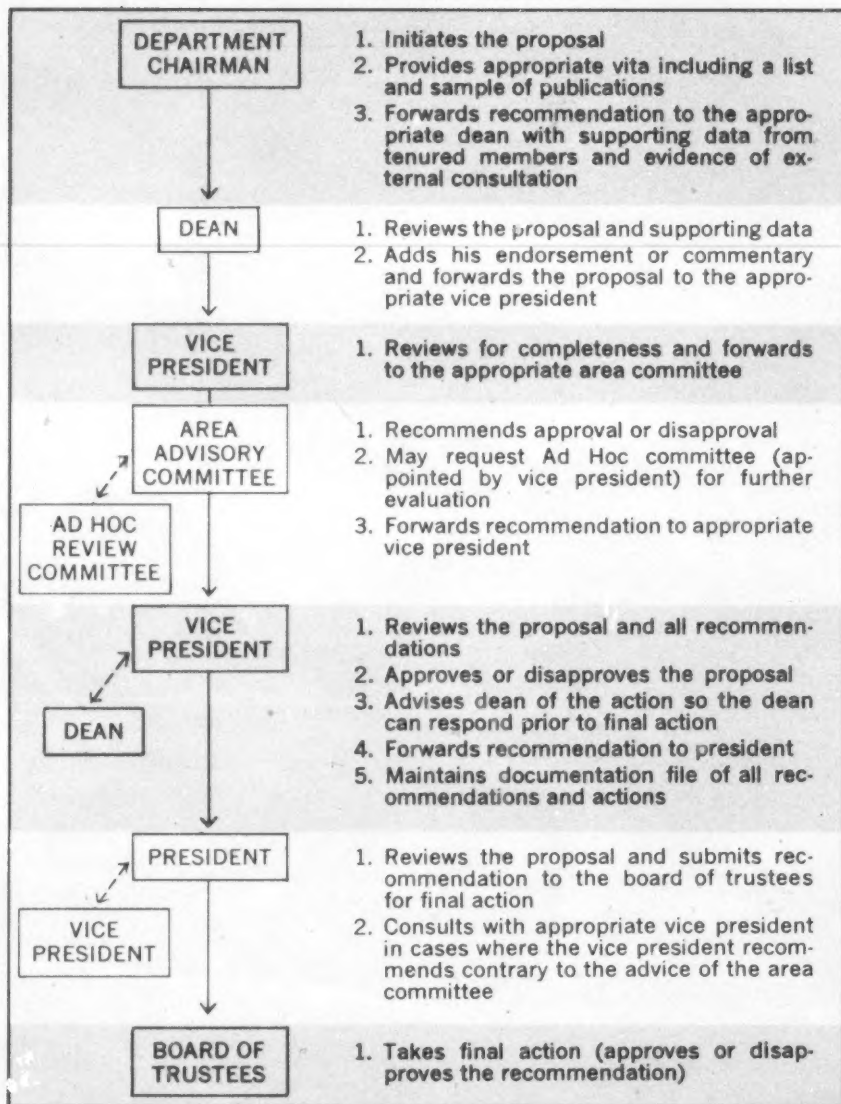
University and Public Service

Effective participation in activities appropriate to the formation of educational policy and faculty government, and effective performance of administrative duties are to be taken into consideration in the evaluative process. A service component is a normal part of a faculty member's obligation to the university.

Service to the community, state and nation are also recognized as positive evidence for promotion, provided that this service emanates from the special competence of the individual in his field and is an extension of his role as a scholar-teacher.

The full procedure for appointment, promotion, granting of tenure and termination is summarized in the flow chart on page 40.

Procedural Flow Chart for Academic Appointment, Promotion, Granting of Tenure and Termination for the Division of Colleges and the Medical Center



8 Faculty Evaluation at a State University of Doctoral Level

"We believe the evaluation program described has been largely responsible for our improved faculty performance and quality—teaching, research and public service—during the last half dozen years. At the same time our goals and procedures have been the subject of much faculty comment and discussion (pro and con)."

— Director of Institutional Research and Planning

Each candidate for promotion at this institution is judged on the basis of his performance in assigned and budgeted duties. Complete and careful documentation is required on the candidate's teaching performance, research activities, public service, publications, exceptional administrative performance (where budgeted), service and other contributions. In general, candidates for promotion should be distinguished in at least two of these areas: teaching, research, public service.

The university's accountability to its students and to the citizens of the state requires that excellence in teaching be encouraged and rewarded. Every teaching faculty member is expected to be an effective teacher, and no teaching faculty member is nominated for promotion to tenured rank without documented and convincing evidence of his superior teaching effectiveness. It is emphasized that teaching excellence draws upon the teacher's breadth and depth of scholarship, and that the responsibilities of a university require the services of teacher-scholars who fulfill the dual roles of creative teaching and superior scholarship.

Objective evaluation of teaching is recognized as complex but not impossible when based on several sources of information, such as:

1. Carefully designed student questionnaires
2. Student comments that attest to a teacher's ability to arouse interest and stimulate study
3. Letters of evaluation from former students
4. Peer evaluation by faculty colleagues
5. Success or accomplishments of present and former students
6. Performance of students on uniform examinations
7. Development of innovative new courses and teaching materials

8. Successful direction of theses and research by students
9. Textbooks, lecture notes and articles reflecting teaching contributions
10. Honors or special recognition for teaching accomplishments

Research and creative scholarship are documented in terms of the publications of the candidate. It is emphasized that the evaluation of publications must be qualitative rather than merely quantitative in nature. Some mission-oriented research is essential in a state university, and important accomplishments in solving major problems, including improvements in the economic status of industries or quality of life, should be considered in assessing qualifications for promotion.

The importance of the university's public service function is stressed. It is defined as the outreach of the university to society at large, with major emphasis upon the application of knowledge to the solution of problems with which people are confronted in a society that is ever-changing and becoming more complex. Contributions to the service program carry equal weight with contributions to the university's other objectives, but it is admittedly difficult to evaluate performance in public service. However, those making nominations have the responsibility to develop and document criteria for evaluation in this vital area.

Promotion recommendations originate in the department, where tenured members of the faculty make recommendations by written ballot on each candidate. The department head develops a dossier which includes:

- A. A covering letter on (1) the nominee's professional competence as judged from all areas of activity; (2) his regional, national or international stature among those of his age and specialty; and (3) his budgeted and assigned duties over the past five years.
- B. A vita sheet summarizing biographical, personal and professional data on the candidate.
- C. A thorough documentation of teaching effectiveness.
- D. A complete list of publications.
- E. Reprints of publications during the past five years.
- F. A description of professional, university and public service activities.
- G. Letters of evaluation from at least three authorities (two or more from outside the University).

H. A list of honors, awards, etc.

I. The names and addresses of three outside specialists who can be contacted.

The department head's letter of recommendation and the dossier are forwarded to the dean, who reviews the complete dossier and forwards it with his recommendation to the provost's office. After review by an area advisory committee consisting of seven senior faculty members, and further reviews by the advisory review committee consisting of the chairman of the area advisory committee, the dean of the graduate school, the vice president for instruction and the provost, the provost forwards his recommendations to the president.

The president transmits the nominations with his recommendations to the office of the state higher education agency where they undergo further review by staff. No promotion is final until it has been approved at the state level.

Summary and Conclusions

1. Faculty evaluation programs at the responding institutions are generally conducted both (a) to provide information for administrative decisions pertaining to staff advancement, and (b) for faculty development purposes. Emphasis on advancement information predominates at doctoral level institutions, while emphasis on faculty development is more frequently paramount at two-year colleges. The two functions of evaluation are regarded as about equally important at master's and bachelor's level institutions.

These differences suggest that administrators of large, comprehensive universities tend to be less concerned about needing to improve the effectiveness of their teaching personnel and more alert to the complications of managing a large staff which moves through a complex pipeline of salary increases, promotions, tenure appointments and decisions not to reappoint. By the same token, administrators of smaller colleges presumably tend to be somewhat less concerned with problems of personnel management and more alert to the need for development of instructional effectiveness.

2. Nine criteria to be considered in decisions for advancement were ranked by respondents in order of their importance. Three of these are traditionally associated with the major functions of institutions, particularly as defined in the public sector, namely, instruction, research and public service. All four levels of institutions rank instruction first, public service eighth, and research falls in-between. A more detailed breakdown of doctoral institutions, however, reveals that over half of large (greater than 15,000 enrollment) public universities ranked the public service criterion in the ranks one to three. Research was ranked second at doctoral institutions, fourth at master's institutions, fifth at bachelor's institutions and seventh at two-year institutions.

Student advisement and administrative activities—both closely associated with instruction—ranked fairly high at all institutions. Publications and activity in professional societies—closely associated with research—tend to cluster with the research rank of each institutional category. Civic activities ranked last for all categories except the two-year institutions where this criterion is ranked fifth. Personal attributes (e.g., cooperation, integrity, loyalty and persistence) are ranked third at bachelor's, fourth at two-year, fifth at master's and sixth at doctoral institutions.

The low ranking of public service at many institutions may be partially explained by the nature of the inquiry, which provided only

for response applying to the entire institutional staff rather than according to variations in the individual's assigned responsibilities.

3. Sources of information for evaluation may best be considered in terms of intended use. *For decisions on advancement* an overwhelming proportion of all types of institutions depend on department chairmen and the chief academic officer. Next in importance are three additional sources: students, presidents or provosts, and faculty committees. Nearly half of the respondents report use of student evaluations. Presidents and provosts are involved most often at bachelor's level colleges, while faculty committees are most frequently used at graduate institutions. Next in line as sources of information are self evaluation and colleague evaluation – used by about a third of the institutions – although colleague evaluation ranges from a 54 percent use at doctoral universities to 13 percent at two-year colleges. Joint faculty-student committees, alumni and “peers at other institutions” are infrequently used sources except for peer evaluation, at doctoral institutions – a third of which report this source.

For faculty development purposes greater reliance upon department chairmen and chief academic officers is again indicated, but student evaluation is given equal attention. Next in line is self evaluation, which is particularly popular at the two-year institutions (61 percent use). Presidents or provosts, colleagues and faculty committees are next, the latter two being in greater use the higher the degree level of the institution. Finally, use of alumni is reported at about 15 percent of institutions and somewhat less use of joint faculty-student committees and of peers, primarily at doctoral level institutions.

4. While a variety of sources can contribute to the evaluation of faculty on a campus, principal responsibility is generally assigned to one or several persons or groups. *In evaluation for advancement decisions* the primary responsibility falls overwhelmingly upon department chairmen and chief academic officers. Only presidents or provosts and faculty committees share a significant part of the task, the former primarily at bachelor's and two-year institutions, the latter at four-year institutions of all levels.

In evaluation for faculty development, also, department chairmen and chief academic officers bear chief responsibility but in this case student evaluations are another source reported to share a significant part of that responsibility.

The bulk of the institutions report that the results of faculty evaluation are available to the faculty member.

5. It is not proper to generalize beyond this group of 536 respondents, which constitute 64 percent of Southern higher educational

institutions. Neither is it possible to evaluate the effectiveness of the average evaluation program beyond the finding that 80% of the self-evaluations reported are favorable. It is clear that at most of the institutions there is a serious effort to develop sound evaluation information, that many of them employ systematic procedures designed to regularize evaluation—whether for decisions on advancement or for faculty development—and that some are highly innovative in arriving at improved methods to achieve effectiveness and equity. It may come as a surprise that student evaluations of faculty performance are reported to be utilized by 88 percent of the institutions responding.

Appendix

Southern Regional Education Board Survey of Faculty Evaluation Procedures

Name and address
of institution: _____

Name and title of
person completing
this form: _____

Telephone number: _____

1. Institutional control: Public ☐ Private ☐

2. Highest degree offered: Doctorate ☐ Master's ☐ Baccalaureate ☐
Associate Degree or Certificate ☐

3. Enrollment of institution: Below 1,000 ☐ 1,000 to 5,000 ☐ 5,000 to 15,000 ☐
15,000 and above ☐

4. Listed below are several reasons for faculty evaluation. Please rank these reasons ("1" is most important) in the order of their importance in your faculty evaluation program. Use the same number for two or more items considered equally important.

_____ to provide information needed in making decisions on salary, promotion and tenure.

_____ to provide a basis for general faculty development and improvement.

_____ to provide each faculty member with diagnostic information concerning his instructional behavior and effectiveness.

_____ to provide data for research on teaching and learning.

_____ to assure equity of employment practices with regard to sex and ethnic differences.

_____ other (specify): _____

5. Sources of information for faculty evaluation are listed below. Please indicate utilization of each at your institution.

(Check sources utilized)	(Complete for sources checked)			
	Periodically Documented?	Used for Decisions On		Used for Faculty Improvement
		Salary Increase	Reappointment Promotion & Tenure	
____ academic dean or vice president	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___
____ alumni	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___
____ colleagues	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___
____ department chairman	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___
____ faculty committee	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___
____ joint student-faculty group	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___
____ peers in other institutions	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___
____ president or provost	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___
____ self (evaluation or report)	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___
____ students	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___
____ other (specify) _____	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___
_____	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___
_____	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___

6. Which of the above is principally responsible for faculty evaluation?

(a) For purposes of salary increases, promotion and tenure _____

(b) For purposes of faculty development and improvement _____

7. Are the results of evaluation available to the faculty member? Yes ☐ No ☐

8. Listed below are various factors which are considered in faculty evaluation for salary increases, promotion and tenure. Please rank the factors ("1" is most important) that are applicable on your campus. Use the same number for two or more factors considered equally important.

- ☐ activity in professional societies.
- ☐ administrative/management activities, e.g., departmental service, committee work, curriculum development.
- ☐ civic activities, e.g., participation in conservation efforts, Chamber of Commerce work, etc.
- ☐ instructional activity, e.g., classroom teaching, laboratory supervision, thesis direction, course preparation.
- ☐ personal attributes, e.g., cooperation, integrity, loyalty, persistence.
- ☐ publications, e.g., books, articles in professional journals.
- ☐ public service, e.g., assistance to state government in planning or training.
- ☐ research and other scholarly or creative work.
- ☐ student advising, e.g., academic counseling.
- ☐ other (specify) _____

9. Please describe briefly your evaluation program. If guidelines, handbooks, by-laws, brochures, annual reports, evaluation forms or scales, or other documents describing the program are available, please submit them in addition to your description.

10. If your institution has developed policies and/or practices to assure that faculty who have public service responsibilities are accorded appropriate recognition for such services, please specify and document, as applicable:

11. Please describe briefly what you think have been the major (good or bad) consequences of your faculty evaluation program, e.g., changes in faculty morale, in the instructional process, in the quality of teaching.

Please return the completed form and all supporting documents, by February 1, 1975, to:

Dr. James E. Boyd
Southern Regional Education Board
130 Sixth Street, N. W.
Atlanta, Georgia 30313